

UD 36215

TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT Under 37 CFR 1.97(b), (c), or (d)		Docket No. 10454-022001/P-4190-4 (SRI/4190-4)	
In re Application of: VALDES, et al.			
Serial No. 09/944,788	Filing Date 08/31/2001	Examiner SERR, Cristina O.	Group Art Unit 3621
Title: PROBABILISTIC ALERT CORRELATION			

Address to:
Assistant Commissioner for Patents
Washington, D.C. 20231

37 CFR 1.97(b)

1. ☐ The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application other than a continued prosecution application under 37 CFR 1.53(d); within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; before the mailing of a first Office Action on the merits; or before the mailing of a first Office Action after the filing of a request for continued examination under 37 CFR 1.114.

37 CFR 1.97(c)

2. ☒ The Information Disclosure Statement submitted herewith is being filed after the period specified in 37 CFR 1.97(b), but prior to the mailing date of a Final Action under 37 CFR 1.113, a Notice of Allowance under 37 CFR 1.311, or an Action that otherwise closes prosecution in the application, and is accompanied by the statement or fee as indicated below.

37 CFR 1.97(d)

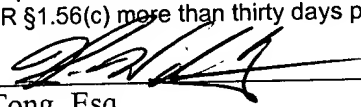
3. ☐ The Information Disclosure Statement submitted herewith is being filed after the period specified in 37 CFR 1.97(c), but on or before payment of the issue fee and is accompanied by the statement and fee as indicated below.

Required Statements and/or Fees Under 37 CFR 1.97(c) or (d)

- ☐ Each item of information contained in the accompanying Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the Information Disclosure Statement. (37 CFR 1.97(e)(1))
- ☐ No item of information in the accompanying Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the undersigned person, after making reasonable inquiry, no item of information contained in the accompanying Information Disclosure Statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the Information Disclosure Statement. (37 CFR 1.97(e)(2))
- ☒ The fee set forth in 37 CFR 1.17(p). Please credit any overpayment or charge any insufficiencies to deposit account number 20-0782.

37 CFR §1.704(d)

4. ☐ Each item of information in the accompanying Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart application and this communication was not received by any individual designated in 37 CFR §1.56(c) more than thirty days prior to the filing of the Information Disclosure Statement.



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Shrewsbury, New Jersey 07702

Dated: 3/31/06

Certification of Mailing under 37 C.F.R. 1.10

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04/05/2006 REF ID: A60000122 200782 09944788



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Effective on 12/08/2004.
Fees pursuant to the Consolidated Appropriations Act, 2005 (H.R. 4818).

FEE TRANSMITTAL for FY 2006

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT **(\$180.00)**

Complete if Known

Application Number	09/944,788
Filing Date	08/31/2001
First Named Inventor	VALDES, et al.
Examiner Name	Sherr, Cristina O.
Art Unit	3621
Attorney Docket No.	10454-022001/P-4190-4 (SRI/4190-4)

METHOD OF PAYMENT (check all that apply)

☐ Check ☐ Credit Card ☐ Money Order ☐ None ☐ Other (please identify) : _____
☒ Deposit Account Deposit Account Number: 20-0782 Deposit Account Name: Patterson & Sheridan, LLP.

For the above-identified deposit account, the Director is hereby authorized to: (check all that apply)

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☒ Charge any additional fee(s) or underpayments of fee(s) ☒ Credit any overpayments
Under 37 CFR 1.16 and 1.17

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FEE CALCULATION

1. BASIC FILING, SEARCH, AND EXAMINATION FEES

Application Type	FILING FEES		SEARCH FEES		EXAMINATION FEES		Fees Paid (\$)
	Fee (\$)	Small Entity Fee(\$)	Fee(\$)	Small Entity Fee(\$)	Fee(\$)	Small Entity Fee(\$)	
Utility	300	150	500	250	200	100	_____
Design	200	100	100	50	130	65	_____
Plant	200	100	300	150	160	80	_____
Reissue	300	150	500	250	600	300	_____
Provisional	200	100	0	0	0	0	_____

2. EXCESS CLAIM FEES

EXCESS CLAIM FEES

Fee Description	Small Entity Fee (\$)	Fee (\$)
Each claim over 20 (including Reissues)	50	25
Each independent claim over 3 (including Reissues)	200	100
Multiple dependent claims	360	180

Total Claims	Extra Claims	Fee(\$)	Fee Paid (\$)	Multiple Dependent Claims	
_____ -20 or HP= _____	x _____	= _____		Fee (\$)	Fee Paid (\$)
HP = highest number of total claims paid for, if greater than 20.					
Indep. Claims	Extra Claims	Fee(\$)	Fee Paid (\$)		
_____ - 3 or HP= _____	x _____	= _____			
HP = highest number of independent claims paid for, if greater than 3.					

3. APPLICATION SIZE FEE

If the specification and drawings exceed 100 sheets of paper (excluding electronically filed sequence or computer listings under 37 CFR 1.52(e)), the application size fee due is \$250 (\$125 for small entity) for each additional 50 sheets or fraction thereof. See 35 U.S.C. 41(a)(1)(G) and 37 CFR 1.16(s).

Total Sheets	Extra Sheets	Number of each additional 50 or fraction thereof	Fee (\$)	Fee Paid (\$)
_____ - 100 = _____	/ 50 = _____	(round up to a whole number) x _____	= _____	Fees Paid (\$)

4. OTHER FEE(S)

Non-English Specification, \$130 fee (no small entity discount)

Other (e.g., late filing surcharge) : IDS

180.00

SUBMITTED BY

Signature		Registration No. (Attorney/Agent)	39,400	Telephone	(723) 530-9404
Name (Print/Type)	Kin-Wah Tong, Esq.	Date	3/31/06		

This collection of information is required by 37 CFR 1.136. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 30 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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PTO/SB/08a (08-03)

Approved for use through 07/31/2006. OMB 0651-0031
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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Substitute for form 1449A/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

APR 04 2006 (Use as many sheets as necessary)

PATENT & TRADEMARK OFFICE

Sheet 1

of 3

Application Number 09/944,788

Filing Date 08/31/2001

First Named Inventor VALDES et al.

Group Art Unit 3621

Examiner Name SHERR, Cristina O.

Attorney Docket Number 10454-022001/P-4190-4 (SRI/4190-4)

Submission Date March 31, 2006

U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code ² (if known)			
	A1	6,067,582	05-2000	Smith, et al.	
	A2	6,119,236 A	09-2000	Shiple, P.M.	
	A3	6,192,392	02-2001	Ginter	
	A4	6,269,456	07-2001	Hodges et al.	
	A5	6,275,942 B1	08-2001	Bernhard et al.	
	A6	6,298,445	10-2001	Shostack et al.	
	A7	6,324,656	11-2001	Gleichen et al.	
	A8	2002/0019870	02-2002	Chirashnya et al.	
	A9	6,405,318	06-2002	Rowland, C. H.	
	A10	6,442,694 B1	08-2002	Bergman et al.	
	A11	6,477,651 B1	11-2002	Teal, D.M.	
	A12	6,529,954 B1	03-2003	Cookmeyer et al.	
	A13	6,535,227	03-2003	Fox et al.	
	A14	6,532,543	03-2003	Smith et al.	
	A15	6,546,493 B1	04-2003	Magdych et al.	
	A16	2003/0145226	07/31/2003	Bruton III et al	
	A17	2003/0172166	09/11/2003	Judge et al.	
	A18	6,553,378 B1	04-2003	Eschelbeck, G.	

FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Country Code ³ -Number ⁴ -Kind Code ⁵ (if known)				
	B1	WO 03/077071	09/18/2003	Giphertrust, Inc.		
	B2	WO 02/101516 A2	12/19/2002	Intruvert Networks		
	B3	WO 99/57625	11/11/1999	PRC Inc.		
	B4					
	B5					

Examiner

Date Considered

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450. If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

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**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Sheet 3

3

Application Number	09/944,788
Filing Date	08/31/2001
First Named Inventor	VALDES et al.
Group Art Unit	3621
Examiner Name	SHERR, Cristina O.
Attorney Docket Number	10454-022001/P-4190-4 (SRI/4190-4)
Submission Date	March 31, 2006

NON PATENT LITERATURE DOCUMENTS

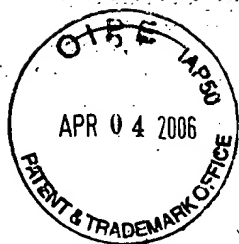
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T ²
	C1	SHOSTACK, A., "An overview of SHTTP, pp 1-7, May 1995	
	C2	RADLAN, "Intrusion Detection, Extend the Monitoring and Protection of Your Network", Radlan White Paper, pp. 1-7, February 1999	
	C3	ISS, "Introduction to RealSecure Version 3.0", pp.1-46, 1999	
	C4	NETWORK ASSOC., "Next Generation Intrusion Detection In High-Speed Networks", pp. 1-18, 1999	
	C5	ALMGREN, et al., "A lightweight Tool for Detecting Web Server Attacks," Network and Distributed Systems Security (NDSS 2000) Symposium Proceedings, pp. 157-170, 2000 , copy provided is marked as pp. 1-14	
	C6	ALMGREN, et al., "Application-Integrated Data Collection for Security Monitoring, " From Recent Advances in Intrusion Detection (RAID 2001) Springer, Davis, California, pp. 22-36 October 2001 (copy provided comprises of pp. 1-21)	
	C7	DANIELS, et al. " A network Audit System for Host-based Intrusion Detection (NASHID) in Linux," 16 th annual Computer Security Application Conference (ACSAC 00) pp. 1-10, December 2000	
	C8	DANIELS, et al. "Identification of Host Audit Data to Detect Attacks on Low-Level IP Vulnerabilities, " J. Computer Security, 7 (1), pp. 3-35, 1999	
	C9	DAYIOGLU, "APACHE Intrusion Detection Module," http://yunus.hacettepe.edu.tr/~burak/mod_id , pp.1-6, date Unknown, Downloaded 11/10/2003	
	C10	HOLLANDER, Y., "The Future of Web Server Security: Why your web site is still vulnerable to attack," http://www.cgisecurity.com/lib/wpfuture.pdf , pp. 1-9, allegedly posted 2000	
	C11	LINDQVIST, et al, "eXpert-BSM: A host-based Intrusion Detection Solution for Sun Solaris," Proc 17 th Annual Computer security Application Conference, pg 240-251, December 2001(copy provided comprises of pp. 1-12)	

Examiner

Date Considered

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Docket No.: SRI 14190-4
Applicant: Valdis, Ltd
Filed: 8-31-01
Serial Number 09/944,788

The following has been received in the U.S. Patent and Trademark Office on the date stamped hereupon:

☒ Information Disclosure Statement
☐ Information Disclosure Statement with Deposit Account Transaction
☐ () Abstracts or Translations
☒ (3) Foreign Patent Documents
☒ (11) Non-Patent Literature Documents
☐ Transmittal Letter (2 copies)
☒ Fee Transmittal (2 copies) Other _____
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